

11/16/01  
JC860 U.S. PTO

Please type a plus sign (+) inside this box ☐

PTO/SB/05 (03-01)  
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|   |                        |                                    |
|---|------------------------|------------------------------------|
| <b>UTILITY<br/>PATENT APPLICATION<br/>TRANSMITTAL</b><br><small>(Only for new nonprovisional applications under 37 CFR 1.53(b))</small> | Attorney Docket No.    | A1148.0000/P008                    |
|   | First Inventor         | Dan A. Steinberg                   |
|   | Title                  | OPTICAL BENCH WITH ALIGNMENT, etc. |
|   | Express Mail Label No. |                                    |

|  |   |
|--|---|
| <b>APPLICATION ELEMENTS</b><br><small>See MPEP chapter 600 concerning utility patent application contents.</small>   | <b>ADDRESS TO:</b><br>Box Patent Application<br>Commissioner for Patents<br>Washington, DC 20231                                      |
| 1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17)<br><small>(Submit an original, and a duplicate for fee processing)</small>   | 7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or<br>Computer Program (Appendix)                                |
| 2. <input type="checkbox"/> Applicant claims small entity status.<br>See 37 CFR 1.27.  | 8. Nucleotide and/or Amino Acid Sequence Submission<br><small>(if applicable, all necessary)</small>                                  |
| 3. <input checked="" type="checkbox"/> Specification [Total Pages 21]<br><small>(preferred arrangement set forth below)</small> <ul style="list-style-type: none"><li>- Descriptive title of the invention</li><li>- Cross Reference to Related Applications</li><li>- Statement Regarding Fed sponsored R &amp; D</li><li>- Reference to sequence listing, a table,<br/>or a computer program listing appendix</li><li>- Background of the Invention</li><li>- Brief Summary of the Invention</li><li>- Brief Description of the Drawings (if filed)</li><li>- Detailed Description</li><li>- Claim(s)</li><li>- Abstract of the Disclosure</li></ul> | a. <input type="checkbox"/> Computer Readable Form (CRF)  |
| 4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 11]  | b. Specification Sequence Listing on:<br>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> paper |
| 5. Oath or Declaration [Total Pages ]<br>a. <input type="checkbox"/> Newly executed (original or copy)<br>b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d))<br><small>(for continuation/divisional with Box 18 completed)</small><br>i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b><br><small>Signed statement attached deleting<br/>inventor(s) named in the prior application,<br/>see 37 CFR 1.63(d)(2) and 1.33(b)</small>  | c. <input type="checkbox"/> Statements verifying identity of above copies   |
| 6. <input type="checkbox"/> Application Data Sheet See 37 CFR 1.76   |   |

|   |  |
|---|--|
| <b>ACCOMPANYING APPLICATIONS PARTS</b>  |  |
| 9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))   |  |
| 10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney<br><small>(when there is an assignee)</small>      |  |
| 11. <input type="checkbox"/> English Translation Document (if applicable)   |  |
| 12. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input checked="" type="checkbox"/> Copies of IDS Citations |  |
| 13. <input type="checkbox"/> Preliminary Amendment  |  |
| 14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503)<br><small>(Should be specifically itemized)</small>                      |  |
| 15. <input type="checkbox"/> Certified Copy of Priority Document(s)<br><small>(if foreign priority is claimed)</small>                              |  |
| 16. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i).<br>Applicant must attach form PTO/SB/35 or its equivalent.    |  |
| 17. <input type="checkbox"/> Other:   |  |

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_ Group / Art Unit: \_\_\_\_\_

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

|   |                                       |           |                |  |                |
|---|---------------------------------------|-----------|----------------|--|----------------|
| <b>19. CORRESPONDENCE ADDRESS</b>                                     |                                       |           |                |  |                |
| <input checked="" type="checkbox"/> Customer Number or Bar Code Label |                                       | 26086     |                | or <input type="checkbox"/> Correspondence address below |                |
| Name  | Haleos, Inc.<br>Martin G. Meder, Esq. |           |                |  |                |
| Address   | 3150 State Street                     |           |                |  |                |
| City  | Blacksburg                            | State     | VA             | Zip Code   | 24060          |
| Country   | US                                    | Telephone | (540) 230-0951 | Fax  | (540) 553-3717 |

|                   |                        |                                   |        |                   |
|-------------------|------------------------|-----------------------------------|--------|-------------------|
| Name (Print/Type) | William E. Powell, III | Registration No. (Attorney/Agent) | 39,803 |                   |
| Signature         | W.E. Powell            |                                   | Date   | November 16, 2001 |

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

## Complete if Known

|                      |                   |
|----------------------|-------------------|
| Application Number   | Not Yet Assigned  |
| Filing Date          | November 16, 2001 |
| First Named Inventor | Dan A. Steinberg  |
| Examiner Name        | Not Yet Assigned  |
| Group Art Unit       | Not Yet Assigned  |
| Attorney Docket No.  | A1148.0000/P008   |

TOTAL AMOUNT OF PAYMENT (\$ ) 1,286.00

## METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit  
Account  
Number

04-1073

Deposit  
Account  
Name

- ☒ Charge Any Additional  
Fee Required Under  
37 CFR 1.16 and 1.17

- ☐ Applicant claims small  
entity status See  
37 CFR 1.27

2. ☒ Payment Enclosed

- ☒ Check ☐ Credit Card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity<br>Fee<br>Code | Large Entity<br>Fee<br>(\$) | Small Entity<br>Fee<br>Code | Small Entity<br>Fee<br>(\$) | Fee Description        | Fee Paid |
|-----------------------------|-----------------------------|-----------------------------|-----------------------------|------------------------|----------|
| 101                         | 710                         | 201                         | 355                         | Utility filing fee     | 740.00   |
| 106                         | 320                         | 206                         | 160                         | Design filing fee      |          |
| 107                         | 490                         | 207                         | 245                         | Plant filing fee       |          |
| 108                         | 710                         | 208                         | 355                         | Reissue filing fee     |          |
| 114                         | 150                         | 214                         | 75                          | Provisional filing fee |          |

SUBTOTAL (1) (\$ ) 740.00

### 2. EXTRA CLAIM FEES

|                       | Extra<br>Claims | Fee from<br>below | Fee Paid      |
|-----------------------|-----------------|-------------------|---------------|
| Total Claims          | 41              | -20** = 21        | X 18 = 378.00 |
| Independent<br>Claims | 5               | -3* = 2           | X 84 = 168.00 |
| Multiple Dependent    |                 |                   |               |

### Large Entity Small Entity

| Fee<br>Code | Fee<br>(\$) | Fee<br>Code | Fee<br>(\$) | Fee Description   |
|-------------|-------------|-------------|-------------|---|
| 103         | 18          | 203         | 9           | Claims in excess of 20  |
| 102         | 80          | 202         | 40          | Independent claims in excess of 3                             |
| 104         | 270         | 204         | 135         | Multiple dependent claim, if not paid                         |
| 109         | 80          | 209         | 40          | ** Reissue independent claims<br>over original patent         |
| 110         | 18          | 210         | 9           | ** Reissue claims in excess of 20<br>and over original patent |

SUBTOTAL (2) (\$ ) 546.00

\*\* or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

| Large Entity<br>Fee<br>Code       | Large Entity<br>Fee<br>(\$) | Small Entity<br>Fee<br>Code | Small Entity<br>Fee<br>(\$) | Fee Description   | Fee<br>Paid |
|-----------------------------------|-----------------------------|-----------------------------|-----------------------------|---|-------------|
| 105                               | 130                         | 205                         | 65                          | Surcharge - late filing fee or oath   |             |
| 127                               | 50                          | 227                         | 25                          | Surcharge - late provisional filing fee or<br>cover sheet.                    |             |
| 139                               | 130                         | 139                         | 130                         | Non-English specification   |             |
| 147                               | 2,520                       | 147                         | 2,520                       | For filing a request for <i>ex parte</i> reexamination                        |             |
| 112                               | 920*                        | 112                         | 920*                        | Requesting publication of SIR prior to<br>Examiner action                     |             |
| 113                               | 1,840*                      | 113                         | 1,840*                      | Requesting publication of SIR after<br>Examiner action                        |             |
| 115                               | 110                         | 215                         | 55                          | Extension for reply within first month  |             |
| 116                               | 390                         | 216                         | 195                         | Extension for reply within second month                                       |             |
| 117                               | 890                         | 217                         | 445                         | Extension for reply within third month  |             |
| 118                               | 1,390                       | 218                         | 695                         | Extension for reply within fourth month                                       |             |
| 128                               | 1,890                       | 228                         | 945                         | Extension for reply within fifth month  |             |
| 119                               | 310                         | 219                         | 155                         | Notice of Appeal  |             |
| 120                               | 310                         | 220                         | 155                         | Filing a brief in support of an appeal  |             |
| 121                               | 270                         | 221                         | 135                         | Request for oral hearing  |             |
| 138                               | 1,510                       | 138                         | 1,510                       | Petition to institute a public use proceeding                                 |             |
| 140                               | 110                         | 240                         | 55                          | Petition to revive - unavoidable  |             |
| 141                               | 1,240                       | 241                         | 620                         | Petition to revive - unintentional  |             |
| 142                               | 1,240                       | 242                         | 620                         | Utility issue fee (or reissue)  |             |
| 143                               | 440                         | 243                         | 220                         | Design issue fee  |             |
| 144                               | 600                         | 244                         | 300                         | Plant issue fee   |             |
| 122                               | 130                         | 122                         | 130                         | Petitions to the Commissioner   |             |
| 123                               | 50                          | 123                         | 50                          | Processing fee under 37 CFR 1.17(q)   |             |
| 126                               | 180                         | 126                         | 180                         | Submission of Information Disclosure Stmt                                     |             |
| 581                               | 40                          | 581                         | 40                          | Recording each patent assignment per<br>property (times number of properties) |             |
| 146                               | 710                         | 246                         | 355                         | Filing a submission after final rejection<br>(37 CFR 1.129(a))                |             |
| 149                               | 710                         | 249                         | 355                         | For each additional invention to be<br>examined (37CFR 1.129(b))              |             |
| 179                               | 710                         | 279                         | 355                         | Request for Continued Examination (RCE)                                       |             |
| 169                               | 900                         | 169                         | 900                         | Request for expedited examination<br>of a design application                  |             |
| Other fee (specify)               |                             |                             |                             |   |             |
| *Reduced by Basic Filing Fee Paid |                             |                             |                             |   |             |
| SUBTOTAL (3) (\$ )                |                             |                             |                             |   | 0 00        |

## SUBMITTED BY

Name (print/type) William E. Powell, III

Registration No.  
(Attorney/Agent)

39,803

## Complete (if applicable)

Telephone (202) 775-4798

Signature

W.E. Powell

Date

November 16, 2001